

# Introduction

## WORK GROUP GUIDANCE

Last Revised Date: 01/14/2010

### Strategic Plan

A comprehensive blueprint of the vision, goals, objectives and strategies addressing the statewide HIE development including:

- Strategies to support meaningful use by all providers, public health, and patient engagement and data access, ongoing improvements in quality and efficiencies, security
- Planning and coordination for distinct and/or concurrent evolution and progress in the five domains, roles of partners and stakeholders, high-level project descriptions for planning, implementation and evaluation
- Plans to address continuous improvement in realizing effective and secure HIE across health care providers
- Plans to support HIT adoption may also be included in the Strategic Plan. Inclusion of health IT adoption in the Strategic Plan is valuable and provides for a more comprehensive approach for planning how to achieve connectivity across the state

### Operational Plan

- The Operational Plan must contain details on how the Strategic Plan will be executed to enable statewide HIE
- The specific actions and roles of various stakeholders in the development and implementation of HIE services must be included
- The Operational Plan must include descriptions of any implementation activities to date with an explanation of how these prior activities fit into the state's future plans for HIE

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# General Topics

## 1 General Topics

Domains (Pages 10-11)	Detailed Guidance for Plans Domain Requirements (Pages 51-56)	Expectations for Key Accomplishments in the 1 <sup>st</sup> Two Years (Pages 12-13)	Initial Core Set of Performance and Reporting Requirements (Planning and/or Implementation) (Pages 30-31)
General Topic	<p><b>Strategic Plan</b></p> <ul style="list-style-type: none"> <li>• <b>Environmental Scan</b> –include an environmental scan of HIE readiness which may include broad adoption of HIT but must include HIE adoption across health care providers within the state and potentially external to the state, as relevant. The environmental scan must include an assessment of current HIE capacities that could be expanded or leveraged, HIT resources that could be used, the relevant collaborative opportunities that already exist, the human capital that is available and other information that indicates the readiness of HIE implementation statewide.</li> <li>• <b>HIE Development and Adoption</b> –address vision, goals, objectives and strategies associated with HIE capacity development and use among all health care providers in the state, to include meeting HIE meaningful use criteria to be established by the Secretary through the rulemaking process. The Strategic Plan must also address continuous improvement in realizing appropriate and secure HIE across health care providers for care coordination and improvements to quality and efficiency of health care. Strategic Plans should also address HIE between health care providers, public health, and those offering services for patient engagement and data access.</li> <li>• <b>HIT Adoption</b> (<i>encouraged but not required</i>)– <ul style="list-style-type: none"> <li>○ HIT adoption may also be included in the Strategic Plan</li> <li>○ While many states have already addressed HIT adoption in their existing Health IT State Plans, it is not a requirement. However, the inclusion of Health IT adoption in the Strategic Plan is valuable and provides for a more comprehensive approach for planning how to achieve connectivity across the state.</li> </ul> </li> </ul>		

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	<ul style="list-style-type: none"> <li>• <b>Medicaid Coordination</b> – The Strategic Plan must describe the interdependencies and integration of efforts between the state’s Medicaid HIT Plan and the statewide HIE development efforts. The description should include the state’s HIE related requirements for meaningful use to be established by the Secretary through the rulemaking process and the mechanisms in which the state will measure provider participation in HIE.</li> <li>• <b>Coordination of Medicare and Federally Funded, State Based Programs</b> – Strategic Plan shall describe the coordination activities with Medicare and relevant federally-funded, state programs (see program guidance). These programs include: <ul style="list-style-type: none"> <li>○ Epidemiology and Laboratory Capacity Cooperative Agreement Program (CDC)</li> <li>○ Assistance for Integrating the Long-Term Care Population into State Grants to Promote Health IT</li> <li>○ Long Term Care HIT Implementation (CMS/ASPE)</li> <li>○ HIV Care Grant Program Part B States/Territories Formula and Supplemental Awards/AIDS Drug Assistance Program Formula and Supplemental Awards (HRSA)</li> <li>○ Maternal and Child Health State Systems Development Initiative programs (HRSA)</li> <li>○ State Offices of Rural Health Policy (HRSA)</li> <li>○ State Offices of Primary Care (HRSA)</li> <li>○ State Mental Health Data Infrastructure Grants for Quality Improvement (SAMHSA)</li> <li>○ State Medicaid/CHIP Programs</li> <li>○ IHS and tribal activity</li> </ul> </li> </ul>		

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	<ul style="list-style-type: none"> <li>○ Emergency Medical Services for Children Program (HRSA)</li> <li>● <b>Participation with federal care delivery organizations</b> (<i>encouraged but not required</i>)– When applicable, the Strategic Plan should include a description of the extent to which the various federal care delivery organizations, including but not limited to the VA, DoD, and IHS, will be participating in state activities related to HIE.</li> <li>● <b>Coordination of Other ARRA Programs</b> – Because other ARRA funding will be available to the state that can help advance HIE, the Strategic Plan must describe, when applicable, coordination mechanisms with other relevant ARRA programs including Regional Centers, workforce development initiatives, and broadband mapping and access. As these programs are developed, ONC will provide program guidance to facilitate state specific coordination across Regional Centers, workforce development and broadband programs. For planning purposes, applicants should specify how entities or collobaratives planning to be Regional Centers will provide technical assistance to health care providers in their states, how trained professionals from workforce development programs will be utilized to support statewide HIE, and how plans to expand access to broadband will inform State Strategic and Operational Plans overtime. This program coordination will be the subject of future guidance, and plans may need to be modified as other programs are clarified.</li> </ul> <p><b>Gaps Identified in Strategic Plan:</b></p> <ul style="list-style-type: none"> <li>■ Gaps from the Strategic plan are not included here.</li> <li>■ Most areas need more description of HOW the state plans to move forward in each area above. Right now it is mostly descriptive lists, with nothing about how the state plans to approach each area to build</li> </ul>		

## General Topics

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	<p>support for and momentum towards HIE. The HOW here is high level but should give a sense of the direction the state will take, with details laid out in the operational plan.</p> <ul style="list-style-type: none"> <li>▪ Complete readiness assessment</li> <li>▪ Identify organizations and points of coordination already engaged and those yet to be developed</li> <li>▪ Identify a plan for enhancing coordination and collaboration with these known activities</li> <li>▪ Solidify the state vision and goals for HIE and HIT adoption in the state</li> <li>▪ Identify more concrete vision and goals for coordination with other organizations and ARRA programs referenced above.</li> </ul> <p><b>Operational Plan</b></p> <ul style="list-style-type: none"> <li>• <b>Coordinate with ARRA Programs</b> – The Operational Plan must describe specific points of coordination and interdependencies with other relevant ARRA programs including Regional Centers, workforce development initiatives, and broadband mapping and access. As these programs are developed, ONC will provide program guidance to facilitate state specific coordination across Regional Centers, workforce development and broadband programs. For planning purposes, applicants concurrently applying as HIE recipients and Regional Center recipients should specify how they will provide technical assistance to health care providers in their states with estimates of geographic and provider coverage. In addition, project resource planning should take into account how and when trained professionals from workforce development programs will be utilized to support statewide HIE, and how and when broadband will be available to health care providers across the state according to the availability of up to date broadband maps and funded efforts to expand access.</li> </ul>		

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	<ul style="list-style-type: none"> <li>• <b>Coordinate with Other States</b> – In order to share lessons learned and encourage scalable solutions between states, the Operational Plan shall describe multi-state coordination activities including the sharing of plans between states.</li> </ul>		

End section

# Finance

## 3 Finance

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<p><b>Functions:</b></p> <ul style="list-style-type: none"> <li>Identification and management of financial resources to fund health information exchange.</li> </ul> <p><b>Includes:</b></p> <ul style="list-style-type: none"> <li>Public and private financing for building HIE capacity and sustainability</li> <li>Pricing strategies, market research, public and private financing strategies, financial reporting, business planning, audits, controls.</li> </ul>	<p><b>Strategic Plan</b></p> <ul style="list-style-type: none"> <li><b>Sustainability</b> – In order to ensure the financial sustainability of the project beyond the ARRA funding, the Strategic Plan shall include a business plan that enables for the financial sustainability, by the end of the project period of HIE governance and operations.</li> </ul> <p><b>Operational Plan</b></p> <ul style="list-style-type: none"> <li><b>Cost Estimates and Staffing Plans</b> – The Operational Plan must provide a detailed cost estimate for the implementation of the Strategic Plan for the time period covered by the Operational Plan. It must also include a detailed schedule describing the tasks and sub-tasks that need to be completed in order to enable statewide HIE along with resources, dependencies, and specific timeframes. The implementation description shall specify proposed resolution and mitigation methods for identified issues and risks within the overall project. Additionally, recipients shall provide staffing plans including project managers and other key roles required to ensure the project's success.</li> <li><b>Controls and Reporting</b> – The Operational Plan must describe activities to implement financial policies, procedures and controls to maintain compliance with generally accepted accounting principles (GAAP) and all relevant OMB circulars.</li> </ul>	<ul style="list-style-type: none"> <li>Develop capacity to effectively manage funding necessary to implement state Strategic Plan <ul style="list-style-type: none"> <li>Establishing financial policies and implementing procedures to monitor spending and provide appropriate financial controls.</li> </ul> </li> <li>Develop a path to sustainability including a business plan with feasible public/private financing mechanisms for ongoing information exchange <ul style="list-style-type: none"> <li>including among health care providers and with those offering services for patient engagement and information access.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Has the organization developed and implemented financial policies and procedures consistent with state and federal requirements?</li> <li>Does organization receive revenue from public and private organizations?</li> <li>What proportion of the sources of funding to advance statewide HIE are obtained from federal assistance, state assistance, other charitable contributions, and revenue from HIE services?</li> <li>Of other charitable contributions listed above, what proportion of funding comes from health care providers, employers, health plans, and others (please specify)</li> <li>Has the organization developed a business plan</li> </ul>

## Finance

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	<p>The organization will serve as a single point of contact to submit progress and spending reports periodically to ONC.</p> <p><b>Gaps Identified in Strategic Plan:</b></p> <ul style="list-style-type: none"> <li>• A description of the final financing plan and brief description of why it is sustainable (and/or what still needs to be worked out)</li> <li>• The need for the final determination of a roll out schedule and its effect on financing</li> <li>• A decision on the fee structure to create a revenue stream for sustainability</li> <li>• A final determination of the technical solution</li> </ul>		<p>that includes a financial sustainability plan?</p> <ul style="list-style-type: none"> <li>▪ Does the governance organization review the budget with the oversight board on a quarterly basis?</li> <li>▪ Does the recipient comply with the Single Audit requirements of OMB?</li> <li>▪ Is there a secure revenue stream to support sustainable business operations throughout and beyond the performance period?</li> </ul>

### Milestones:

#### Planning:

- Development of a business plan (development and sustainability) supported by health care entities and HIE stakeholders
- Feasibility of this model and justification for sustainability
- Funding for convening and coordinating elements secured
- Funding for development and sustainability of statewide HIE infrastructure and/or pilot projects identified

#### Implementation

- Implementation proceeding according to business plan and tied to a business model leading to sustainability
- Funding for statewide HIE technical infrastructure and/or pilot project secured



# Finance

## Activities:

### Strategic Plan

- Sustainability
  - Review other ARRA program sustainability models
  - Identify possible funding sources
  - Identify legislative requirements and strategy
  - Research sustainability models (internal and external, public and private)
  - Document possible options for sustainability model
  - Develop and recommend integrated HIT sustainability model
  - Develop funding plan to support Technical Infrastructure guiding principals
- Performance and Reporting Requirements
  - Identify current state rules and regulations for reporting requirements
  - Develop strategy (mechanisms, schedule) for reporting

### Operational Plan

- Identify possible funding sources (private, public, diversification)
- Identify legislative requirements and strategy
- Research other business plans (internal and external to AR, public and private)
- Develop operational budget for implementation and steady state
- Develop 4 year annual budget outlook

### Dependencies

- Approved Technical Infrastructure model, plan
- Approved Governance model

End section

